# APPENDIX J - DOI FACILITIES MAINTENANCE AND CAPITAL IMPROVEMENTS GUIDANCE

# (A portion of the annual budget guidance to the Service from the Department of Interior, issued as attachment G)

The Department of the Interior (Interior) owns and operates over 34,000 buildings, 120,000 miles of roads, and a wide variety of other constructed assets. These facilities serve nearly 380 million visitors annually. They provide schooling for 53,000 native American children and a place of work for 45,000 Interior employees. The value of these assets is measured in billions of dollars. Many are considered priceless for their historical significance. As the steward of these assets, Interior is committed to improving the maintenance of these existing facilities and making the capital investments in new facilities that are essential to it's mission. To this end, the facilities maintenance and construction management improvements described below have been instituted throughout the Interior Department.

This guidance is basically the same as provided in FY 2001. However, changes are:

- Emphasis on meeting required schedule for submissions is provided, p. 3.
- Dams included in 5-years plans must indicate Departmental rank, p. 8.
- Direction will be provided separately by the Office of Acquisition and Property Management on reporting on projects with energy conservation elements, p. 8.
- Discussions of condition assessments (p. 9) and the facilities-related maintenance management systems requirements have been updated, p. 11.
- Guidance on process to facilitate Bureau and Departmental review, p. 8.
- ▶ 300Bs'submittal to the Executive Review Board, p. 8.
- Completion Report guidance is included with Exhibit 5.

# Emphasis continues on:

- FASAB #6 continues to be presented separately in the overall budget guidance.
- Analysis continues to be required on deferred maintenance vs. capital improvement and reduction to backlog with final submission to Congress, p. 11.

This Attachment provides directions on 1) the Five-Year Maintenance and Capital Improvement Plan, 2) review of facilities related information systems requirements, and 3) project completion reporting requirements.

# I. <u>FIVE-YEAR MAINTENANCE AND CAPITAL IMPROVEMENT PLAN</u>

#### **OBJECTIVES OF THE PLAN**

The development of the Five-Year Maintenance and Capital Improvement Plan is an important step in the improvement of Interior's infrastructure for the next millennium. The 5-Year Plan started with Fiscal Year (FY) 2002 and covered the five-year period through FY 2006. It will be updated annually. The completion of FY 1999 and FY 2000 deferred maintenance and capital improvement projects was reported at the end of the fiscal year.

Development of the 2002 Plan helped us better understand Interior's accumulated deferred maintenance needs and changes to bureau maintenance needs since the 2001 Plan was issued. The items in the 5-Year Plan will be added to all remaining deferred maintenance items to comply with the Federal Accounting Standard (FASAB) Number 6. It also will aid Departmental planning for future capital improvements.

Through the use of a set of common definitions for facilities management terms in this Interior-wide planning process, Interior has been able to present a more consistent and credible view of its budgeted resources and capital investments, goals, needs and priorities to the Administration and the Congress. Data developed during the formulation of the 2000 and 2001 Plans have greatly improved DOI's capability for making facilities management decisions. With establishment of definitions and framework for the 5-year Plan, the Department can now turn its attention to the implementation of a Interior-wide assessment of facilities condition, updating the facilities inventory, and by tracking the completion of projects to monitor bureau progress toward addressing accumulated deferred maintenance needs.

The ultimate success of improving the stewardship of constructed assets will be measured by the ability to reduce accumulated deferred maintenance for Interior facilities. To insure the sustainability of that accomplishment, annual maintenance should be adequately funded so that essential maintenance is no longer deferred. The planning and performance measurement processes described here will help establish what that funding level should be.

#### **DEFINITIONS**

A set of Common Definitions of Facilities Maintenance and Construction Terms (See Exhibit 1a) was developed in February 1998 by the Interior Deferred Maintenance Working Group. Based on input from the Office of Management and Budget and Congressional Committee Staffs, the definitions have been clarified to reduce confusion with certain terms used in the budget structure.

Exhibit 1b illustrates the four primary types of facilities management functions: Operations, Annual Maintenance, Deferred Maintenance, and Capital Improvements, as well as a number of other commonly used terms which describe methods by which those primary functions are

accomplished. The Plan is concerned with Deferred Maintenance and Capital Improvement needs and projects. Changes made in FY 2000 to Interior's budget structure and accounting systems were intended to make a clear separation between Operations and Maintenance and will remain.

#### THE PLANNING PROCESS

# FY 2002 Budget and Five-Year Plan Schedule

Bureaus are to develop and submit their FY 2002 Five-Year Maintenance and Capital Improvement Plan deferred maintenance information on the following schedule:

**August 1, 2000.** Bureaus submit to the Department their Five-Year Maintenance and Capital Improvement Plans, the prioritized lists of projects for the FY 2002-FY 2006 maintenance and construction budget line items.

**September 11, 2000.** Finalization of Bureaus FY 2002-FY 2006 Five-Year Maintenance and Capital Improvement Plans with projects.

**November 13, 2000.** Bureaus submit FY 2000 status report which updates the completion of FY 1999 and FY 2000 project lists, sent to Congress in February 2000 reflecting, accomplishments, status, and changes.

**December 4, 2000.** Bureaus, through Bureau Directors and Assistant Secretaries, submit final FY 2002-2006 Plans, adjusted for FY 2001 changes to AS/PMB with a copy to the Department's Office of Budget. In addition, Bureaus are to submit the analysis of total deferred maintenance vs. capital improvements (see Exhibit 4a) and the backlog reduction as a result of Five-Year Plans (see Exhibit 4b).

**February 5, 2001.** Department completes FY 2002 Five-Year Maintenance and Capital Improvement Plans.

Because of delays encountered in the FY 2001 5-year plan process, it is imperative that Bureaus establish internal schedules and processes to assure meeting these dates.

#### Annual Update

Interior's Five-Year Plan will require annual updating in accordance with the timetable described above. This is so that the budget request will continue to reflect a five-year picture of the bureaus' deferred maintenance and capital improvement needs. The annual update presents the opportunity for the bureaus to adjust their project priorities based on newly identified needs or previously identified needs that have become critical during the past year. There may also be deferred maintenance needs in the out-years of the Plan that, during the current year, have been

addressed through annual maintenance or other means and need to be removed. Plans are to be reviewed annually for updating and addition of a new Fifth Year. Should any projects from FY 2001 not receive funding from the Congress, those projects are expected to be integrated into the project listing for FY 2002.

Similarly, with these annual updates of the Plan in the FY 2002 budget, the Department will be reporting completions for those projects funded in FY 1999 and FY 2000 and changes to those lists based on 1) work already completed, 2) unfunded emergency work that required immediate attention, 3) changes resulting from unforeseen site conditions, and 4) work that no longer needs to be accomplished. Use Project Completion Report form (Exhibit 5) for this purpose.

# Categories of Facilities Maintenance and Construction Needs

Projects listed in the bureaus' Five-Year Plan are to be identified in one or more of the categories below.

**Critical Health and Safety Deferred Maintenance Need.** A facility deferred maintenance need that poses a **serious threat** to public or employee safety or health.

# Examples:

A public building that is diagnosed to be at high risk for structural failure.

Compliance with Notices of Violation (OSHA, EPA, etc.).

Implementation of court-ordered repair or clean-up schedules.

Safety deficiencies at "High Hazard" and "Significant Hazard" dams that if not corrected may cause the structure to fail, resulting in public or employee injury or death.

Road projects (non-ISTEA eligible) to correct serious safety deficiencies.

Repair of a failing fire alarm and/or existing sprinkler system.

Repair of faulty electrical wiring, or other building system electrical compounds which does not comply with the National Electrical Code.

**Critical Health and Safety Capital Improvement Need.** A condition that poses a **serious threat** to public or employee safety or health and can only be reasonably abated by the construction of some capital improvement.

#### Examples:

Construction of new facilities to comply with a notice of violation.

Construction of additional vault toilets at a recreational site that has experienced increased visitation resulting in the overflow of existing vault toilets and/or visitors using other than provided facilities.

Installation of a fire alarm system in a public building where one did not previously exist.

**Critical Resource Protection Deferred Maintenance Need.** A facility deferred maintenance need that poses a **serious threat** to natural or cultural resources.

# Examples:

Deficiency that poses the risk of serious decline in a fish or wildlife resource.

Repairs to a building housing a museum collection which is threatened because of the poor building condition.

Repair of a sewage system that has breached and is leaking into a perennial stream system.

Repairs to cultural/historic facilities and or fabric to prevent loss.

**Critical Resource Protection Capital Improvement Need.** A condition that poses a **serious threat** to natural or cultural resources.

# Examples:

Dike construction to keep wetlands from draining resulting in the loss of endangered species habitat.

Installation of a fire sprinkler system for the protection of a building or its contents where the system did not previously exist.

Construction of a structure to protect hieroglyphs from deterioration.

**Critical Mission Deferred Maintenance Need.** A facility deferred maintenance need that poses a **serious threat** to a bureau's ability to carry out its assigned mission.

#### Examples:

Deficiency in electrical power generation capacity.

Repair of deferred maintenance items at a visitor center or other public facility that if not accomplished will quickly compromise the public's investment in the structure.

Compliance and Other Deferred Maintenance Need. A facility deferred maintenance need that will improve public or employee safety, health, or accessibility; compliance with codes, standards, laws, complete unmet programmatic needs and mandated programs; protection of natural or cultural resources or to a bureau's ability to carry out its assigned mission.

# Examples:

Providing universal ADA accessibility.

Compliance with Federal, state, and/or local building codes.

Facility repair or rehabilitation to increase program efficiency.

Energy conservation projects..

**Notes:** Needs identified under the this category should be coded to enable retrieval of those needs addressing health, safety, accessibility, and other code compliance requirements ("unfunded requirements").

**Other Capital Improvement Need.** The construction of a new facility or the expansion or rehabilitation of an existing facility to accommodate a change of function or new mission requirements.

# Examples:

Construct a visitors center at a new national park.

Major alteration to a school dormitory to convert it's function to academic classroom use.

# FY 2002 Interior Budget Priorities

The Department of the Interior is committed to reducing its accumulated deferred maintenance on existing facilities before constructing most new facilities. When developing the FY 2002 Budget and the Five-Year Maintenance and Capital Improvement Plan, bureaus are to rank and prioritize projects with highest emphasis on critical deferred maintenance needs in health and safety, resource protection, and bureau mission. New capital improvements not concerned with compelling health and safety or resource protection needs will only be funded in exceptional situations.

To provide greater consistency Department-wide, projects are to be ranked using a weighting process based on the percentage of the work (total project \$) that falls in each of the Categories of Facilities Maintenance and Construction Needs described elsewhere in this Attachment. The weighting factors to be applied are:

Critical Health and Safety Deferred Maintenance (CHSdm)	
Critical Health and Safety Capital Improvement (CHSci) 9	
Critical Resource Protection Deferred Maintenance (CRPdm)	7
Critical Resource Protection Capital Improvement (CRPci) 6	
Critical Mission Deferred Maintenance (CMDM) 4	
Compliance and Other Deferred Maintenance (C&ODM) 3	
Other Capital Improvements (OCI)	

Based on these weight factors, projects are to be ranked using the following calculation:

NOTE: The total of the percentages for a project must equal 100% and not exceed it.

This ranking formula may appear to be complex. However, it is designed to accommodate all types and sizes of projects, from the simple to the complex. It can be easily adapted to personal computer spreadsheet software for ease of computation. It places the highest priority on facility-related Critical Health and Safety and Critical Resource Protection deferred maintenance needs in that order. Capital improvement projects that eliminate substantial amounts of deferred maintenance receive a higher rank score than projects that do not address deferred maintenance needs. As bureaus reduce the accumulated deferred maintenance in these categories, funding will be directed to lower priority deferred maintenance and new capital improvement projects. Complex projects including many items of work involving both maintenance and capital improvements may have portions of the project in several of the ranking categories. Smaller, less complex projects may include work in only one or two of the ranking categories. An example project and its TOTAL SCORE calculation is shown below:

# Sample Project: Rehabilitate Headquarters Office Facility To Meet Codes - \$165,000

Description: The rehabilitation is to correct critical health and safety deficiencies by (1) providing a fire alarm system, which is currently lacking for the new headquarters office annex building, (2) providing fire suppression systems for storage rooms in the old headquarters office building, (3) installing a fume hood and, (4) installing an eye wash station. To comply with the requirements for the National Electrical Code, the project includes replacing and repairing the portions of the electrical system in the old headquarters office building.

The percentage of this project in the categories might be 70% CHSdm and 30% C&ODM. The project's TOTAL SCORE would be:  $(70 \times 10) + (30 \times 3) = 790$ .

# Data Requirements

For each project in the Five-Year Plan, bureaus must submit project information and justification in one of two forms. If the project would be typically described as a "Line-Item Construction" project in the budget justification or it is of a size, duration (multi-year), or complexity that it is to go through a formal planning and design process, the information on the Project Data Sheet (Exhibit 2) must be completed and submitted. To facilitate project review, a Summary Project Data Sheet (Exhibit 3) will also be prepared by extracting selected data from the Project Data Sheets.

Projects that would be typically described as smaller, shorter duration, and less complex deferred maintenance ("Repair and Rehabilitation"), and not normally requiring extensive planning and design, will be listed on a Summary Project Data Sheet (Exhibit 3).

Detailed descriptions of the data elements on the Project Data Sheet and Summary Project Data Sheet are provided in Exhibits 2 and 3. Both the Project Data Sheet and Summary Project Data Sheet will be part of Interior's submission to the OMB and the Congress.

# FY 2002 Five-Year Funding Levels and General Guidance on Project Lists

Initially bureaus should assume FY 2002 and outyears FY 2003-2006 will be funded at the request levels in the FY 2001 5-year plans.

For dam safety projects, the land management bureaus and BIA should follow the Interior Technical Priority Rating List, rather than prioritizing dams according to these guidelines. Bureaus are to cite the DOI Dam Safety rank when a dam is included in the 5-year plans. The Bureau of Reclamation should, similarly, continue progress on the Department's dam safety priority list. For other aspects of its maintenance and construction programs, the Bureau of Reclamation should submit information on the procedures and processes that it has in place to ensure that it does not develop a backlog of critical deferred maintenance.

Projects that primarily are for seismic rehabilitation should be included in the 5-year lists in the order of the Bureaus' Seismic Rehabilitation Priority Ranking Lists.

Projects providing accommodations for Americans with Disabilities Act (ADA) should equal at least 5 percent of each year's projects regardless of total rank.

Projects with Energy Conservation elements should be able to be identified for reporting to DOI's Energy Management Program. The Office of Acquisition and Property Management will issue separate guidance on required reporting of FY 2002 data related to energy conservation components in the 5-year plan projects. This will require Bureaus to re-review prior approved projects to ascertain this information.

Construction projects requiring Capital Asset Plan 300Bs (\$10 million or more in total project cost) that are submitted to the Executive Review Board must be accompanied by a completed Project Data Sheet including 5-year plan ranking score.

In order to reduce the time required by the Bureaus and the Department in reviewing and approving the 5-year plan projects, the Bureaus shall:

- 1) Indicate projects that have received Departmental approval and have no subsequent changes in scope, score/ranking or cost. See Project Data Sheet and Summary Project Data Sheet for indicator box;
- Projects submitted for re-review after Departmental issues are raised, must be presented in the order of the prior submission even though re-ranked projects will ultimately be presented in rank order in the final list. This is necessary because Departmental reviewers need to be able to easily locate changed projects for re-review.

#### CONDITION ASSESSMENTS

The validity of the Plan is dependent upon the bureaus having accurate and complete facilities information. In order to assure that the most critical needs are being addressed, it is essential that the bureaus have a complete inventory of their constructed assets and identify the cost of correcting the deferred maintenance needs associated with those assets.

In addition, accumulation of facility data will provide the necessary information for compliance with the Federal Accounting Standard which requires annual reporting of deferred maintenance of fixed assets (FASAB Number 6, Accounting for Property, Plant, and Equipment). Interior has chosen condition assessment as the method to be used for determining the deferred maintenance for each class of constructed asset.

In line with the Government Performance and Results Act (GPRA) concept of performance-based budgeting, performance measurement in facilities management are to be anchored to inventory and condition assessment data. Budget formulation, allocation, and execution will impact a change in asset condition. The capability to measure that change, particularly by specific asset category, is essential for reporting accomplishments in the year-end GPRA report and the FASAB requirement.

On December 2, 1999, the Department issued formal guidance for conducting facilities condition assessments surveys (FCAS) to the Bureaus. Bureaus are required to submit to the Department for review and approval, a detailed description of the process, procedures, and timetable for the implementation of a FCAS program that meetings the requirements specified in that guideline.

Implementation of these guideline will achieve Interior-wide consistency in determining the physical condition of constructed as sets by:

- 1) Initiating a uniform methodology and a core data set for the facility condition assessments so as to ascertain the deferred maintenance and repair needs of all existing facilities and validate facility inventories.
- 2) Ensuring that the condition assessments are conducted by competent and qualified personnel using uniform, comprehensive survey criteria.
- Developing automated systems that accurately document facilities' needs; can be easily reviewed and updated by field and regional staffs; and are capable of being aggregated to any bureau and Department level. Documentation should include standard need descriptions and associated cost estimating procedures.
- 4) Establishing for each bureau a cyclic/recurring condition assessment process where onsite inspections are conducted at a minimum every five years by qualified personnel to determine the condition and accuracy of the inventory and deferred maintenance needs.

It is understood that it will take a multi-year effort (beginning in FY 2000) for the Bureaus to accomplish complete condition assessments on all of their constructed assets. However, over time the process of cyclic condition assessments will greatly improve the quality of the Five-Year Plans as annual updates are made with better facility needs data.

This type of assessment is an effective way of evaluating the success of the five year planning effort. Using the data collected, an accurate evaluation can be made as to whether each bureau's asset conditions are improving or declining.

The computation of the current replacement value of the asset as part of the condition assessment process will enable the bureaus to use the industry standard Facilities Condition Index (FCI) as a method of assessing the condition and change of condition of facilities. The FCI should be computed for each facility after a condition assessment is completed for the facility.

The FCI is the ratio of accumulated deferred maintenance to the current replacement value.

FCI = Deferred Maintenance/Current Replacement Value

FCI is an indicator of the depleted value of a bureau's constructed assets. In other words, the FCI illustrates the percentage of capital amount that a bureau would have to spend to eliminate the deferred maintenance. The general guideline is that the FCI should be held below 5 percent for a facility to be considered to be in good condition.

# PERFORMANCE MEASURES

Improvement of Interior's facilities management programs may be measured in three ways. The first is by tracking the estimated cost of accumulated deferred maintenance. In the long-term this is expected to decline. However, in the short term, as the initial cycle of a formal condition assessment process in implemented, the amount of accumulated deferred maintenance may rise if the assessments uncover additional maintenance needs.

Computing the Facilities Condition Index (FCI) will provide another performance measure for Interior overall, the individual bureaus, types of similar facilities, and by the categories of needs. The improvement on the condition of facilities will be indicated by the absolute decline in the FCI as well as by its rate of change. The FCI will gain meaning over time as Interior's facilities inventory is updated to give an accurate measure of actual replacement value of the constructed assets.

An additional measure of performance will be the determination of the percentage of Departmental facilities that fall into the "Good," "Fair," and "Poor" condition categories. In the long term, the percentage in the "poor" category should be reduced and hopefully eliminated, while the percentage in the "good" category should increase.

# Required Deferred Maintenance and Capital Improvement Analyses:

Two analyses of deferred maintenance and capital improvements are to accompany transmission of the final lists to the Department on December 4, 2000. See Exhibits 4a and 4b.

First, provide by plan and year, how much of the bureau unmet deferred maintenance needs is projected to be reduced from FY 1999 through FY 2006.

Second, identify how much of the five year plan is devoted to each of the seven categories of deferred maintenance versus capital improvement. Also provide the total number of projects in each year. A separate table should be provided on Exhibit 4b for each of the following 5-Year Plan submissions:

BLM	O&C Maintenance, MLR Maintenance, Construction, Wildland Fire
USGS	Maintenance

FWS Refuge Maintenance, Hatchery Maintenance, Construction,

Law Enforcement

NPS Repair and Rehabilitate, Construction

BIA FI&R, Construction

# II. FACILITIES-RELATED INFORMATION SYSTEMS REQUIREMENTS

The Department continues to require that the Bureaus implement effective facility management/maintenance management systems with common elements so that 5-year plan and condition assessment data and processes are automated. Cost savings and greater data compatibility could result from jointly developing/acquiring a common maintenance management system instead of upgrading or acquiring separate systems. Bureaus are to continue to look at the feasibility of sharing a common system, the suitability of commercial off-the-shelf systems, and potential efficiencies in a common solution.

A Facilities Management Systems Partnership was chartered in November 1999 as a forum for the Bureaus and DOI to coordinate the develop and use of facilities management systems. These systems are important tools for improvement of the overall condition of the constructed assets, better allocation and utilization of the limited resources dedicated to maintaining those assets, and providing accurate and timely information to the Office of Management and Budget, the Congress, and the public.

#### COMMON DEFINITIONS FOR MAINTENANCE AND CONSTRUCTION TERMS

The following definitions have been adapted from those developed for the February 1998 study team report entitled "Facilities Maintenance Assessment and Recommendations." Definitions for primary terms are shown in **BOLD** type and are summarized on the attached chart. To provide further clarification, supporting text and definitions of other commonly used terms are provided in normal type and indented under each primary term.

During the development of the FY 2000 Budget Guidance and Instructions for the Plan, several of the definitions have been modified to further differentiate between different types of deferred maintenance and capital improvement, and to eliminate confusion between the rehabilitation and construction as functions versus their use as budget categories.

#### **MAINTENANCE**

#### Maintenance

The upkeep of constructed facilities and structures and capitalized equipment necessary to realize the originally anticipated useful life of a fixed asset.

Maintenance includes preventive maintenance; cyclic maintenance; repairs; replacement of parts, components, or items of equipment; periodic condition assessments; periodic inspection, adjustment, lubrication, and cleaning (non-janitorial) of equipment; painting; resurfacing; rehabilitation; special safety inspections; and other actions to assure continuing service and to prevent breakdown.

#### **Annual Maintenance**

Maintenance performed to repair failures during the year in which they occur. Includes preventive and/or cyclic maintenance performed in the year in which it is scheduled to occur.

#### **Preventive Maintenance**

Scheduled servicing; repairs; inspections; adjustments; and replacement of parts that result in fewer breakdowns and fewer premature replacements and achieve the expected life of facilities and equipment.

# Cyclic Maintenance

Preventive maintenance activities that recur on a periodic and scheduled cycle of greater than 1 year.

Typical projects include reroofing or repainting buildings, overhauling engines, replacing of components of gauging stations, rebuilding cable ways, and refinishing hardwood floors.

#### **Deferred Maintenance**

Maintenance that was not performed when it should have been or when it was scheduled and which, therefore, was put off or delayed for a future period. (Adapted from FASAB No. 6)

Deferred maintenance needs may be further categorized in two tiers, critical and non-critical. Delaying correction of non-critical needs will usually result in them becoming critical facility or equipment deficiencies at a future time.

Code compliance (e.g. life safety, ADA, OSHA, environmental, etc.) and other regulatory or Executive Order compliance requirements not met on schedule are considered deferred maintenance. Construction of new facilities would be expected to comply with all codes and other requirements, as would major expansions of existing facilities.

# Deferred Maintenance Backlog

The unfunded or otherwise delayed work required to bring a facility or item of equipment to a condition that meets accepted codes, laws, and standards and preserves the facility or equipment so that it continues to provide acceptable services and achieves its expected life.

# Facility or Equipment Deficiency

A defect that occurs when maintenance is not performed in a timely manner. Deficiencies may or may not have immediately observable physical consequences, but when allowed to accumulate, they inevitably lead to deterioration of performance or loss of asset value or both. An accumulation of such uncorrected deficiencies is a backlog that represents an impairment (in both physical and financial terms).

# Health and Safety Deficiency

A facilities or equipment deficiency that poses a threat to human safety and health (e.g. violations of National Fire Protection Association 101 Life Safety Code or appropriate Health Code) that requires immediate interim abatement and/or long-term permanent abatement.

# Repair

Work to restore a damaged, broken, or worn-out facility, facility component, or item of equipment to normal operating condition.

Repairs are either annual maintenance or deferred maintenance activities. Repairs are usually smaller in scope than rehabilitations.

# Rehabilitation (without expansion or change of function)

Renovation of an existing facility or any of its components in order to restore and/or extend the life of the facility. Because there is no expansion or change of function the work primarily addresses deferred maintenance.

# Replacement

Substitution or exchange of one existing facility, facility component, or item of equipment for another having the capacity to perform the same function.

Replacement is considered maintenance because the deferred maintenance needs for the replaced facility or item of equipment are eliminated. The decision to replace a facility or item of equipment usually is reached when replacement is more cost effective or in the best interest of the government rather than repair or rehabilitation. The size of the existing facility is not expanded in a replacement. Replacement of an item of equipment usually occurs when it has exceeded its useful life.

#### **Demolition and Disposal**

Dismantling and removal, or surplusing of a deteriorated or otherwise unneeded facility or item of equipment, including necessary clean-up work.

# **CAPITAL IMPROVEMENT**

#### **Capital Improvement**

The construction, installation, or assembly of a new facility, or the alteration, expansion, or extension of an existing facility to accommodate a change of function or unmet programmatic needs.

Capital Improvement Backlog

The aggregate of all capital improvement that addresses unmet needs.

#### **New Construction**

The erection, installation, or as sembly of a new facility.

# Alteration (for change of function, without expansion)

Work to change the function of and existing facility or any of its components. The capacity or size of the facility is not expanded. Deferred maintenance of the original facility may be reduced or eliminated by an alteration.

# **Expansion**

Increasing the capacity or size of a facility to serve needs different from, or significantly greater than, those originally intended.

Expansion is considered a capital improvement activity because it is creating a new (i.e. expanded) asset. Deferred maintenance needs on the original facility may be reduced or eliminated through an expansion.

#### **OPERATIONS**

# **Operations**

Activities related to the normal performance of the functions for which a facility or item of equipment is intended to be used.

Costs such as utilities (electricity, water, sewage), fuel, janitorial services, window cleaning, rodent and pest control, upkeep of grounds, vehicle rentals, waste management, and personnel costs associated with the performance of these functions are generally included within the scope of operations and are not considered maintenance costs.

#### **INVENTORY**

## Installation

An operational unit comprised of one or more facilities and the associated land.

Examples of typical Interior installations could include parks, refuges, research centers, detention centers, recreation sites, large dams, schools, office locations, etc.

#### **Facility**

A separate and individual building, structure, or other constructed real property improvement.

# **Facility Component**

A building subsystem, major item of equipment, or other portion of a major facility. **Facility Type** (See Facility and Equipment Types)

#### **UNITS OF WORK**

#### Need

A maintenance, capital improvement, or other programmatic or operational requirement which can be satisfied by a single unit of work.

# **Project**

A single planned undertaking of capital improvement and/or maintenance to satisfy one or more needs.

#### CONDITION/PERFORMANCE INDICATORS

#### **Condition Assessment**

Periodic inspection by qualified personnel to fully determine and document the condition of a facility or item of equipment and identify maintenance needs.

Facilities and items of equipment are categorized according to condition using codes such as those shown below:

Good - Facility/equipment condition meets established maintenance standards, operates efficiently, and has a normal life expectancy. Scheduled maintenance should be sufficient to maintain the current condition.

Fair - Facility/equipment condition meets minimum standards but requires additional maintenance or repair to prevent further deterioration, increase operating efficiency, and to achieve normal life expectancy.

Poor - Facility/equipment does not meet most maintenance standards and requires frequent repairs to prevent accelerated deterioration and provide a minimal level of operating function. In some cases this includes condemned or failed facilities. Based on periodic condition assessments, an indicator of condition is the percent of facilities and items of equipment in each of the good, fair, or poor categories.

# **Replacement Cost**

The standard industry cost and engineering estimate of materials, supplies, and labor required to replace a facility or item of equipment at existing size and functional capability. This includes current costs for overhead, planning/design, construction, and construction management. Alternatively, the standard estimate for a government purchased replacement of like capability. Replacement Cost is an important measurement used in the calculation of Facility Condition Index (FCI).

Replacement cost may also be estimated by accounting methods which inflate the original cost and costs of any subsequent capital improvements to current year using established price indices.

Historic structures and inherited facilities (with zero acquisition costs) pose unique problems for estimation of replacement costs.

# **Facility Condition Index (FCI)**

The ratio of accumulated deferred maintenance to the replacement cost for a facility or item of equipment or group of facilities or items of equipment.

FCI is a calculated indicator of the depleted value of facilities. An acceptable range for the FCI could vary by facility type. A typical range would be from .02 to .05, i.e. from 2% to 5% of replacement value.

# **Facility and Equipment Types:**

# **Bridge**

A structure erected over a waterway or other obstruction and having a track/passageway for traffic or other moving loads.

- A. **Vehicular Bridge.** A manmade structure used to provide passage for motor vehicle traffic.
- B. **Culvert Bridge.** A manmade structure composed of multiple box or pipe structures for vehicular or other traffic.
- C. **Trail Bridge.** A manmade structure used to provide easy passage for traffic (such as pedestrian, bicycle, and equestrian).

# Building

A. **General.** - Any structure with a roof and commonly enclosed by walls, designed for storage, human occupancy, shelter for animals, or other useful structure; distinguished from structures not designed for occupancy (such as fences or

bridges) and from structures not intended for use in one place (such as boats and trailers) even though subject to occupancy.

- B. **Historic General**. Historic buildings, structures, and monuments owned and maintained for their historic significance (excluding historic housing).
- C. **Housing**. Buildings used as residences in support of agency mission (houses, apartments, bunkhouses, etc.).
- D. **Historic Housing**. Historic houses owned and maintained for their historic significance and used for residency.

# Campground/Recreation Area

Public use area for recreation, picnicking, boat launching, and camping.

#### Dam

A structure 25 feet or more high with storage capacity in excess of 15 acre-feet or having storage capacity of at least 50 acre-feet and a height of at least 6 feet built across a watercourse to impound water and create a reservoir.

#### **Dam Hazard Classifications**

The classification for a dam is based on the potential consequences of failure. In other words, on potential loss of life and damage to downstream property that failure of the dam would probably cause. Such classification is related to the amount of development downstream of a dam. There are three classifications: High - Significant - Low.

**High Hazard** is a downstream hazard classification for dams in which more than 6 lives would be in jeopardy and excessive economic loss (urban area including extensive community,

industry, agriculture, or outstanding natural resources) would occur as a direct result of dam failure.

**Significant Hazard** is a downstream hazard classification for dams in which 1-6 lives are in jeopardy and appreciable economic loss (rural area with notable agriculture, industry, or work sites, or outstanding natural resources) would occur as a result of dam failure.

**Low Hazard** is a downstream hazard classification for dams in which no lives are in jeopardy and minimal economic loss (undeveloped agriculture, occasional uninhabited structures, or minimal outstanding natural resources) would occur as a result of failure of the dam.

# **Equipment**

Machinery, vehicles, instruments, tools and other types of property associated with the operation and/or maintenance of constructed facilities and improvements.

Equipment is property of a durable nature and can be expected to have a period of service of a year or more after being put into use without material impairment to its physical condition.

Equipment can be capitalized (i.e. depreciated) or non-capitalized.

Specialized research equipment such as nuclear reactors are included.

#### **Fence**

Barrier (with posts, rails, wire, wire mesh, etc.) used to form a boundary, protect (protect public values or protect the general public from safety hazards), or confine.

# **Interpretive Display**

Specialized structures used to provide interpretive or educational information to visitors. Maintenance is related to the structure and associated signs but not the content of display material.

# **Marine Facility**

Structures or items of equipment on the water such as docks, piers, seawalls, and aids to navigation.

# **Monitoring Network**

Network of monitoring instruments such as seismic and earthquake monitors, stream and flood forecast gauges, mercury manometers, motion detectors, and observation wells.

# **Hydro Power System**

Station where flowing water energy is converted into electric energy. This includes:

- A. **Hydroelectric Plant**. Electric powerplant using falling water as its motive force.
- B. **Electric Power System**. Physically connected electric generating, transmission, and primary or secondary distribution facilities operated as a unit under one control.

#### Road

- A. **Paved.** Roads constructed with asphalt or concrete surface, including signs and culverts.
- B **Unpaved**. Roads constructed with gravel, crushed stone, or compacted earth surface, including signs and culverts.

#### Site

- A. **Administrative Site.** Acreage, structure, service, or system (excluding buildings) that is set aside to support Federal administrative programs and staff. Included are utility systems (water, sewer, electricity, gas, etc.), roads, parking lots, sidewalks, recreation fields, and grounds.
- B. **Grounds**. Outdoor area, either public or administrative, which requires maintenance. Assets falling into this category include landscaped areas, cemeteries, picnic areas, and campgrounds. Typical features of grounds assets are fences, walls, grave markers, fire grates, tables, litter containers, benches, flag poles, trees, shrubs, flower beds, and irrigation systems.

#### Trail and Boardwalk

A marked path or course, including signs, that is used primarily by pedestrians, beasts-of-burden, and various special equipment or machines generally used for individual travel.

- A. **Paved.** Trails constructed with asphalt or concrete surface.
- B. **Unpaved**. Trails constructed with gravel, crushed stone, wood chips, or compacted earth surface.
- C. **Boardwalk.** Trail constructed of boards or substitute materials to provide an elevated walking surface, and may include observation decks.
- D. **Water Trail**. A recreation and/or conservation trail on a lake, river, canal, or ocean between specific points and containing access points and day and/or overnight use sites for the boating public.

#### Tunnel

A feature that is constructed by excavating through natural ground to convey traffic or water, or to house conduits or pipes.

#### **Utility**

A system and associated equipment required for electric power, gas, water, water treatment, waste water collection and treatment, or communication service functions.

- A. **Powerplant.** Structure that houses turbines, generators, photovoltaic, and associated control equipment.
- B. **Water System.** Facility and equipment for collection, treatment, storage, and distribution of potable and nonpotable water.
- C. **Wastewater System**. Facility and equipment for the collection, treatment, and disposal of wastewater, including RV dump stations.
- D. **Communication System.** Facility and equipment for radio and telephone communication.
- E. **Fuel System.** Facility and equipment for the storage and/or distribution of fuel.

# **Water Management Facility**

- A. **Dike/Levee**. Water detention/retention structure that impounds bodies of relatively shallow water or protects facilities from flood runoff. Levees are generally earthen structures designed to retain water within a floodway and protect adjacent areas. These structures do not meet the size criteria for classification as a dam as defined elsewhere in this table.
- B. **Diversion Dam/Water Control Structure**. Manmade structure for diverting natural gravity flow water and controlling water levels in impoundments. These structures do not meet the size criteria for classification as a dam as defined elsewhere in this table.
- C. **Water Conveyance**. Pipeline, ditch, or canal facility for movement of water.

#### COMMON DEFINITIONS FOR FACILITIES MAINTENANCE AND CONSTRUCTION TERMS

ns

Activities related to the normal performance of the functions for which a facility or item of equipment is intended to be used.

#### Maintenance

The upkeep of constructed facilities and structures and capitalized equipment necessary to realize the originally anticipated useful life of the fixed assets.

#### Annual Maintenance

Maintenance performed to repair failures during the year in which they occur. Includes preventive and/or cyclic maintenance performed in the year in which it is scheduled to occur.

#### **Deferred Maintenance**

Maintenance that was not performed when it should have been or when it was scheduled and which, therefore, was put off or delayed for a future period.

(Adapted from FASAB No. 6)

#### **Capital Improvement**

Construction, of a new facility, or the expansion or extension of an existing facility to accommodate a change of function or unmet programmatic needs.

#### METHODS OF ACCOMPLISHING WORK IN EACH CATEGORY OF MAINTENANCE AND CONSTRUCTION

**Repair**. Work to restore a damaged, broken, or worn-out facility, facility component, or item of equipment to normal operating condition.

Preventive Maintenance. Scheduled servicing; repairs; inspections; adjustments; and replacement of parts that result in fewer breakdowns and fewer premature replacements and achieve the expected life of facilities and equipment

**Cyclic Maintenance.** Preventive maintenance activities that recur on a periodic and scheduled cycle of greater than 1 year.

**Condition Assessment.** Periodic inspection by qualified personnel to fully determine and document the condition of a facility or item of equipment and identify maintenance needs.

Repair. Work to restore a damaged, broken, or worn-out facility, facility component, or item of equipment to normal operating condition.

# Rehabilitation (without expansion or change of function).

Renovation of an existing facility or any of its components in order to restore and/or extend the life of the facility.

Replacement. Substitution or exchange of one existing facility, facility component, or item of equipment for another having the capacity to perform the same function.

**Demolition.** Dismantling and removal, or surplusing of a deteriorated or otherwise unneeded facility or item of equipment, including necessary clean-up work.

**New Construction.** The erection, in stallation, or assembly of a new facility.

Alteration (for change of function, without expansion). Work to change the function of an existing facility or any of its components.

**Expansion.** Increasing the capacity or size of a facility to serve needs different from, or significantly greater than, those originally intended.

# DEPARTMENT OF THE INTERIOR MAINTENANCE AND CAPITAL IMPROVEMENT PLAN FY 2002 - 2006

# [Bureau Name] PROJECT DATA SHEET

Bureau Priority/Ranking	
Planned Funding FY	
Funding Source:	

			Funding Source:	
Project Identification				
Project Title:				
Project No.:	Unit/Facility	Name:		
Region/Area/District:		Congressional Dis	strict:	State:
Project Justification				
Project Description:				
Project Need/Benefit:				
% Critical Health or Safety Capital Improvement %	Critical Miss Compliance	ories of need. sion Deferred Maint & Other Deferred Maint al Improvement		
Capital Asset Planning 300B Analysis Required: YES: NO:			Total Project Score:	
Project Costs and Status				
Project Cost Estimate: \$'s \$\\ Deferred Maintenance Work: \$\\ Capital Improvement Work: \$\\ Total Project Estimate: \$\\ Class of Estimate (circle one): <b>A B C D DM</b>		Project Funding H Appropriated to D Requested in FY_ Planned Funding I Future Funding to Complete Project:	rate: Budget FY:	\$ \$ \$
Estimate Good Until (mm/yy):/_		Total:		• <u> </u>
Dates: Sch'd  (qtr/yy) Construction Start/Award:/_ Project Complete:/_		Project Data Sheet Prepared/Last Upo		Unchanged Since Department approval:  YES: NO:

#### PROJECT DATA SHEET - DATA ELEMENTS

# <u>Definitions of Data Elements on Project Data Sheet</u>

# **Project Identification**

# **Bureau Priority/Ranking**

The unique, numerical rank of a project within a Bureau's deferred maintenance or capital improvement lists. Project criticality, as supported by the percentages in the Ranking Categories sections below, should be used to prioritize all projects.

# Planned Funding FY

The fiscal year in which a project is projected to be funded, as of the current submittal of the Five-Year Plan.

# **Project Title**

A brief (100 characters or less) title of the project. The location and facility name of the property may be included, as well as descriptive words to indicate the action(s) being taken.

#### Examples:

Upper Snake River Drinking Water Upgrade Minute Man NHP, Rehabilitate Unsafe Historic Residence Tensas River NWR, Retrofit existing Oil & Paint Storage Building

#### Project No.

The identification code used to distinguish this project from all others within a Bureau. The code can be any combination of characters and numbers. The current form will accommodate approximately 16 characters.

# **Unit/Facility Name**

The name of the unit, facility or location at which the project is to be accomplished.

# Region/Area/District

The Region, Area or District within which a facility is located.

# **Congressional District**

The Congressional District in which the facility is located.

#### State

Two letter abbreviation for the state in which the facility is located.

#### **Project Justification**

# **Project Description**

The project description must include a statement of the identified problem(s), its impact, and the prescribed solution. It must be written in a way to support the percentage in each ranking category included in the project. This section may be used to provide additional details of the property to be improved, the specific tasks to be accomplished, and the deficiencies to be corrected. For deferred maintenance projects, reasons for the project should be provided, with a brief explanation of safety, resource, or mission risks and benefits. Project duration and timing or project phases may also be discussed here.

# **Project Need/Benefit**

Justify here the primary safety, resource, or mission needs to be satisfied and benefits to be gained with project accomplishment. These should relate directly to the problem or risk expressed in the project description. Also, state the quantifiable GPRA outputs (measures) and ultimate outcomes that this project will help achieve.

# **Ranking Categories**

Identify the percentage of the projects work that is in each of the 7 categories listed below. These categories are described early in this guideline. The percentages must add to 100%.

Critical Health and Safety Deferred Maintenance Needs

Critical Health and Safety Capital Improvement Needs

Critical Resource Protection Deferred Maintenance Needs

Critical Resource Protection Capital Improvement Needs

Critical Mission Deferred Maintenance Needs

Compliance and Other Deferred Maintenance Needs

Other Capital Improvements

#### **Capital Asset Planning-300Bs**

OMB requires preparation of a Capital Asset Plan and Justification (Exhibit 300B in OMB Circular A-11) for major capital acquisitions. The Department has determined that exhibit 300B's should be prepared for any construction project whose total project cost is \$10 million or greater. For more details, see the Capital Planning and IT Investment in the general management guidance section of the FY 2001 Budget Guidance.

#### **Total Project Score**

The result of the calculation after applying the weight factors for the Ranking Categories. The weighting factors to be applied are:

Critical Health and Safety Deferred Maintenance (CHSdm)	10
Critical Health and Safety Capital Improvement (CHSci)	9
Critical Resource Protection Deferred Maintenance (CRPdm)	7
Critical Resource Protection Capital Improvement (CRPci)	6
Critical Mission Deferred Maintenance (CMDM)	4
Compliance and Other Deferred Maintenance (C&ODM)	3
Other Capital Improvements (OCI)	1

Based on these weight factors, projects are to be ranked using the following calculation:

# **Project Costs and Status**

# **Project Cost Estimate**

Deferred Maintenance Work

This is the estimated cost of the proposed project that addresses deferred maintenance needs. For those projects addressing both deferred maintenance as well as capital improvement needs, it includes only those costs addressing deferred maintenance. The estimate should include the cost of project planning, design, other direct and indirect cost if the bureau typically funds these activities in the project cost. Labor costs should only be included when the project is accomplished by a contractor.

# Capital Improvement Work

This is the estimated cost of a proposed project that addresses capital improvement needs. For those projects addressing both capital improvement as well as deferred maintenance needs, it includes only those costs addressing capital improvements. It should include all planning, design, value engineering, construction management, and construction costs for which the bureau typically funds in the project cost.

#### **Total Project Estimate**

Cost of deferred maintenance portion plus cost of capital improvement portion of a project.

#### **Class of Estimate**

Use the following to categorize the status of current cost estimates of construction projects (A-D) or deferred maintenance projects (DM):

- **A Working Drawings and Specifications Complete** This estimate is based on complete quantity take-off from completed construction drawings and on specifications ready for a competitive bid. It reflects the best available estimate of construction costs based on a competitive bid situation.
- **B 40% Design Complete -** This estimate is based on the development of the selected alternative and tentative bid schedule items, either lump sum or unit price. It uses quantities based on design drawings. At the end of project planning, the project should be developed in sufficient detail to demonstrate that the design will fulfill the functional and technical requirements of the project. This is the first time in the planning and design process where a project construction cost estimate is accurate enough to support a budget request.
- C Planning Complete This estimate is a conceptual cost estimate based on square footage or other unit cost of similar construction. The project identification/feasibility process should result in a description of facility goals, objectives, and needs and the information needed to evaluate the

feasibility of the project and provide a preliminary project cost range and initial project schedule. This description is used to request future planning and engineering design funds only. The engineering design process is considered approximately 15 percent complete at end of this phase.

**D** - **Pre-Planning** - This estimate is based on a tentative project design, with project size and complexity that is still experiencing significant development.

**DM - Deferred Maintenance Project** - If the Project Data Sheet is being use for a project that would be typically described as smaller, shorter duration, and less complex deferred maintenance ("Repair and Rehabilitation"), and not normally requiring extensive planning and design as opposed to a "Line-Item Construction" type projects, this item should be circled. This is the estimated cost of the proposed project. The estimate should include the cost of project planning, design, other direct and indirect cost if the bureau typically funds these activities in the project cost. Labor costs should only be included when the project is accomplished by a contractor.

# **Estimate Good Until (mm/yy)**

This is the date (by month and year) on which the current cost estimate will expire.

# **Project Funding History**

# **Appropriated to Date**

This is the total funds that have been appropriated to this project from all funding sources through and including the current fiscal year. This applies primarily to capital improvement (construction) projects; for deferred maintenance projects only funds actually obligated up through the date of data entry should be used.

#### Requested in FY' Budget

This is the President's Budget request for the next fiscal year. For information updates taking place in mid-FY 2000, this amount would be the funds being requested for FY 2001.

#### Planned Funding FY

This is the budget year and amount requested for the project or portion of the described on this Project Data Sheet. This should be the same cost that is entered in Total Project Estimate space in the Project Cost Estimate block of the data sheet.

# **Future Funding to Complete Project**

This is out year funding. For information updates taking place in mid-FY 2000, this would be for FYs 2003 and beyond.

#### **Total**

The sum of all anticipated funding needs for the proposed project - the sum of the above four lines.

#### **Dates:**

There are spaces to put the scheduled dates in this block.

#### **Construction Start/Award**

This is the projected date (by quarter and fiscal year) that the project bid will be awarded (for those projects requiring bids) or the date construction is planned to begin.

# **Project Complete**

This is the date that the work in the project is scheduled to be complete. For contracted projects, it is not the contract close-out date or end of warranty.

# Project Data Sheet Prepared/Last Updated

This is the date (by month, day, year) that the last significant alteration of data was made on this particular record. For most projects whose data are entered at the field level with only insignificant changes at the Regional and National levels, this would be the latest date the responsible facility personnel enter new data or verify data from previous years. For projects which are corrected or updated at Regional or National levels, this would be the latest date that a record had been (significantly) changed.

# **Unchanged Since Department Approval**

This indicates whether the project that has received prior Departmental review and approval. Check YES if the project has been reviewed and approved by the Department and has **no** subsequent changes in scope, score/ranking or cost since that approval. Check NO if the project is new or there **has been** subsequent changes in scope, score/ranking or cost since last reviewed and approved by the Department.

[BUREAU] Attachment G - Exhibit 3

# DEPARTMENT OF THE INTERIOR MAINTENANCE AND CONSTRUCTION PLAN FY 2002 - 2006

Summary Project Data Sheet

					Summing Freguesia									
								Ranki	ng Ca tego	ries				
Total Score	Region Area District	Facility or Unit Name	State	Con g Dist	Project Title/ Description	% CHSdm	% CHSci	% CRPdm	% CRPci	% CMdm	% C&ODM	% OCI	Total \$'s (000	Unch'gd Since Dept. Apprv'l Y or N
FY 2002 I	PROJECTS													
FY 2003 I	PROJECTS	Г	1	I		ı	1		1	1	ı	ı		

CHSdm = Critical Health & Safety Deferred Maintenance CHSci = Critical Health & Safety Capital Improvement CRPdm = Critical Resource Protection Deferred Maintenance CRPci = Critical Resource Protection Capital Improvement CMdm = Critical Mission Deferred Maintenance C&ODM = Compliance & Other Deferred Maintenance OCI = Other Capital Improvement

#### SUMMARY PROJECT DATA SHEET - DATA ELEMENTS

# <u>Definitions of Data Elements on Summary Project Data Sheet</u>

#### **Total Score**

The result of the calculation after applying the weight factors for the Ranking Categories. The weighting factors to be applied are:

Critical Health and Safety Deferred Maintenance (CHSdm)	10
Critical Health and Safety Capital Improvement (CHSci)	9
Critical Resource Protection Deferred Maintenance (CRPdm)	7
Critical Resource Protection Capital Improvement (CRPci)	6
Critical Mission Deferred Maintenance (CMDM)	4
Compliance and Other Deferred Maintenance (C&ODM)	3
Other Capital Improvements (OCI)	1

Based on these weight factors, projects are to be ranked using the following calculation:

```
(%CHSdm x 10) + (%CHSci x 9) + (%CRPdm x 7) + (%CRPci x 6) + (%CMDM x 4) + (%C&ODM x 3) + (%OCI x 1) = TOTAL SCORE
```

# Region/Area/District

The Region, Area or District within which a facility is located.

# **Facility of Unit Name**

The name of the unit, facility or location at which the project is to be accomplished.

#### State

Two letter abbreviation for the state in which the facility is located.

# **Cong Dist**

The Congressional District in which the facility is located.

# **Project Title/Description**

If using this block for just a project title, provide a brief (60 characters or less) title of the project. The location and facility name of the property may be included, as well as descriptive words to indicate the action(s) being taken.

Examples:

Upper Snake River Drinking Water Upgrade Minute Man NHP, Rehabilitate Unsafe Historic Residence Tensas River NWR, Retrofit existing Oil & Paint Storage Building

If only providing a project title on this form, there must be a project description as described below provided on a back-up sheet. That back-up information must be easily identified to the project on the summary sheet.

If using this block for title and description, the project description must include a statement of the identified problem(s), its impact, and the prescribed solution. It should be written in a way to support the priority ranking placed on the project. For deferred maintenance projects, reasons for the project should be provided, with a brief explanation of safety, resource, or mission risks and benefits.

#### Total \$'s

This is the estimated cost of the proposed project. The estimate should include the cost of project planning, design, other direct and indirect cost if the bureau typically funds these activities in the project cost. Labor costs should only be included when the project is accomplished by a contractor.

# **Ranking Categories**

CHSdm = Critical Health and Safety Deferred Maintenance Needs
CHSci = Critical Health and Safety Capital Improvement Needs
CRPdm = Critical Resource Protection Deferred Maintenance Needs
CRPci = Critical Resource Protection Capital Improvement Needs
CMdm = Critical Mission Deferred Maintenance Needs
C&ODM = Compliance and Other Deferred Maintenance Needs
OCI = Other Capital Improvements

Identify the percentage of the projects work that is in each of the categories described early in this guideline. The percentages must add to 100%.

# Dept. Appr'd

This indicates whether the project that has received prior Departmental review and approval. Check "Y" if the project has been reviewed and approved by the Department and has **no** subsequent changes in scope, score/ranking or cost since that approval. Check "N" if the project is new or there **has been** subsequent changes in scope, score/ranking or cost since last reviewed and approved by the Department.

Project Reduction	to Unmet Deferred Maintenance Needs
Bureau:	
Account:	
Date:	
Base Year FY 1998*	485,000
Projected Reductions	
FY 1999	-29,000
FY 2000	-28,000
FY 2001	-27,000
FY 2002	-26,000
FY 2003	-30,000
FY 2004	-30,000
FY 2005	-32,000
FY 2006	-35,000
Balance (Projected) FY 2007	237,000

<sup>\*</sup> From Federal Accounting Standard Advisory Board #6

# Deferred Maintenance vs. Capital Improvements in the 5-Year Plans (\$000s)

Bureau, Account Name: \_\_\_\_\_ Date: \_\_\_\_\_

	]	Deferred Mainten	ance			Capital Imp	rovement		
Critical H/S	Critical	Critical	Compliance			Critical Res.			Total Defer.
Deferred	Res. Prot.	Mission	& Other	Total	Critical H/S	Prot. Capital			Maint. &
Maint.	Deferred	Deferred	Deferred	Deferred	Capital	Imprvm t.	Other	Total Cap.	Capital
	Maint	Maint.	Maint.	Maint.	Imprvmt.		Cap.	Imprvm t.	Imprvmt.
							Imprvm t.		

FY 2002

\$ (000s)

%

No. Projects

FY 2003

\$ (000s)

%

No. Projects

FY 2004

\$ (000s)

%0

No. Projects

FY 2005

\$ (000s)

%

No. Projects

FY 2006

\$ (000s)

0/0

No. Projects

**Total Plan** 

\$ (000s)

0/0

No. Projects

# [BUREAU]

# DEPARTMENT OF THE INTERIOR MAINTENANCE AND CONSTRUCTION PLAN FY 1999 [FY2000] Project Completion Report

Total Score/ Ranking	Region Area District	Facility or Unit Name	State	Congr. District	Project Title/ Description	Original Estimated Cost (\$000)	Date of Completion or Status Code	Narrative (when required by status code)
President's	Bu dget							
Congression	nal Add-ons							

# Project Status Codes for Completion Reports for FY 1999 and FY 2000 Maintenance and Construction Lists

Original lists submitted to Congress for FY 1999 and FY 2000, must be provided with the following symbols:

following symbols:	
For projects that did not receive appropriations	Symbol NO
For projects that are completed, enter month and year.	mm/yy
As earlier guidance stated, this is the date the work in the project is completed. It completed on-site construction and not the contract close-out date or end of warr	
For Projects on-going but not yet completed:	
Project planning and engineering design in progress	PD
Construction contract awarded (Use only if on-site construction has not begun)	CA
On-site construction started: either by force account, grant, or contract	CS
For projects with changes since original submission:	
For each project in the following categories there must be an accompanying circumstances causing the change:	g narrative explanation of the
	g narrative explanation of the OF
circumstances causing the change:	-
circumstances causing the change:  Work completed with other funds  Changes to the project resulting from unforeseen	OF
Circumstances causing the change:  Work completed with other funds  Changes to the project resulting from unforeseen site conditions or concealed conditions in existing structures  Work deferred because funds had to be reallocated	OF SC/*
Changes to the project resulting from unforeseen site conditions or concealed conditions in existing structures  Work deferred because funds had to be reallocated for emergency work that required immediate attention  Emergency replacement project (cite listed project	OF SC/*
Changes to the project resulting from unforeseen site conditions or concealed conditions in existing structures  Work deferred because funds had to be reallocated for emergency work that required immediate attention  Emergency replacement project (cite listed project that has been displaced)	OF SC/*  D ER/*

\*Requires second symbol showing status of resulting project.